

IC06 Rec'd PCT/PTO 14 OCT 2005

**IN THE UNITED STATES DESIGNATED/ELECTED OFFICE**

International Application No. : PCT/DE2004/000817  
International Filing Date : 13 April 2004 (13.04.2004)  
Priority Date(s) Claimed : 15 April 2003 (15.04.2003)  
Applicant(s) (DO/EO/US) : Ulrike SCHULZ, et al.

Title: METHOD AND MOULD FOR PRODUCING TRANSPARENT OPTICAL  
ELEMENTS CONSISTING OF POLYMER MATERIALS

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§ 1.56, 1.97 and 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This information disclosure statement is made in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98 as follows:

**Timing and Fees**

- ☒ Under 37 C.F.R. § 1.97(b), no fee or statement is required for filing this information disclosure statement is filed:
- ☐ within three months of the filing date of a national application other than a CPA under § 1.53(d);
  - ☒ within three months of the actual filing date of the national phase of a PCT application; OR
  - ☐ before the mailing of a first substantive office action (including after filing of an RCE).
- ☐ Under 37 C.F.R. § 1.97(c), this information disclosure statement is filed after the periods specified in 37 C.F.R. § 1.97(b), but before the mailing date of:
- a final rejection under 37 C.F.R. 1.113;
  - termination of prosecution, e.g. Ex Parte Quayle, M.P.E.P § 609(B)(2); OR
  - a notice of allowance under 37 C.F.R. § 1.311; and

is accompanied by:

☐ the statement as specified in 37 C.F.R. § 1.97(e) set out below; OR

☐ a check covering the fee of \$180.00 under 37 C.F.R. § 1.17(p).

☐ Under 37 C.F.R. § 1.97(d), this information disclosure statement is filed after the mailing date of the following actions which have not been withdrawn:

☐ a final action under 37 C.F.R. § 1.113;

☐ termination of prosecution, e.g. Ex Parte Quayle, M.P.E.P § 609(B)(2);

☐ OR a notice of allowance under 37 C.F.R. § 1.311;

AND is filed on or before payment of the issue fee; AND is accompanied by:

the statement as specified in 37 C.F.R. § 1.97(e) as set forth below, and the fee of \$180.00 under 37 C.F.R. § 1.17(p).

Statements Under 37 C.F.R. 1.97(e)

☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application having a mailing date not more than three months prior to the filing date of this information disclosure statement; or

☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the undersigned attorney after making reasonable inquiry, no item of information contained in this information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing date of the information disclosure statement.

Cited Materials

☐ Copies of materials listed but not attached were cited in benefit (35 U.S.C. § 120) ancestor application Serial No. \_\_\_\_\_, on Form 892 by the Examiner and/or Form 1449 by the applicant; see 37 C.F.R. § 1.98(d).

☒ Copies of materials listed but not attached were cited in an international search report dated September 10, 2004.

☐ Not required by 37 CFR § 1.98.

☒ Copies of the materials listed are attached (except for the U.S. Patents).

### Non-English Language References

☐ An English-language search report or equivalent paper from a foreign patent office is provided indicating the relevance of the cited reference(s).

☒ A foreign-language search report from a foreign patent office is provided, and pertinent parts are translated substantively below:

X = document of particular relevance when it is taken alone

Y = document of particular relevance when it is combined with another such document

A = document defining the general state of the art

O = non-written disclosure

P = intercalated document

T = document cited to understand the theory or principle underlying the invention

E = patent document which has the benefit of a date earlier than the filing date and which was published only on or after this filing date

D = cited in the application

L = cited for another reason

& = publication of member of same patent family

☒ Translation of other relevant information on foreign search report

In the search report, "Seite" means page, "Seiten" means pages, "Verbindungen der Formel" means Figure of formula, "Beispiele" means examples, and "das ganze Dokument" means the entire document, "Spalte" means column, "Zeile" means line, "Abbildungen" means claims, "Anspruch" means example, "Zusammenfassung" means summary, and "Tabelle" means table, and "Tabellen" means tables "in der Anmeldung erwähnt" means cited in the application, "Schema" means scheme, "und" means and, "Absatz" means break, "Abbildung" means figure.

### Other Information

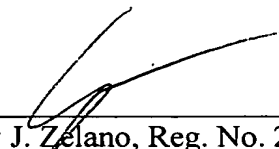
#### Payment of Fees Due (If Any):

☐ A check for \$\_\_\_\_\_ covering the fee identified above is attached.

☐ Please charge to Deposit Account No. 13-3402 \$\_\_\_\_\_ for the fee identified above.

☒ The Commissioner is hereby authorized to charge or credit any overpayment to Deposit Account #13-3402, two copies of this paper are attached for this purpose.

Respectfully submitted,

  
\_\_\_\_\_  
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Attorney Docket No.: PMP-0002

Date: October 14, 2005

AJZ:ssr

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PTO/SB/08A (08-00)

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
Sheet		1	of	2	Application Number USNP of PCT/DE2004/000817
					Filing Date 13 April 2004 (13.04.2004)
					First Named Inventor Ulrike SCHULZ, et al.
					Group Art Unit unknown
					Examiner Name unknown
					Attorney Docket Number PMP-0002

U.S. PATENT DOCUMENTS					
Examiner Initials *	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
	001	5,772,905	A	CHOU	06-30-1998
	002	4,114,983		MAFFITT, et al.	09-19-1978
	003	5,880,885		BAILEY, et al.	03-09-1999
	004	6,309,580	B1	CHOU	10-30-2001

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	005	WO	01/29148	A1	ROLIC AG	04-26-2001		
	006	DE	100 38 749	A1	FRAUNHOFER-GESELLSCHAFT	02-28-2002		
	007	DE	42 44 195	A1	BASF AG	06-30-1994		
	008	DE	196 27 638	A1	GIESECKE & DEVRIENT	01-15-1998		
	009	DE	100 00 132	A1	FRAUNHOFER-GESELLSCHAFT	07-12-2001		
	010	DE	197 08 776	C1	FRAUNHOFER-GESELLSCHAFT	06-18-1998		
	011	EP	0 291 113	A2	ENIRICERCH S.p.A.	11-17-1988		
	012	EP	0 421 430	A2	APPLIED MATERIALS, INC	04-10-1991		
	013	DE	101 29 313	C1	FRAUNHOFER-GESELLSCHAFT	11-21-2002		
	014	JP	05027108	A	ISHIKAWAJIMA HARIMA HEAVY IND CO LTD.	02-05-1993		

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<sup>1</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached. Number refers to English language corresponding family member.

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First Named Inventor		Ulrike SCHULZ, et al.			
Group Art Unit		unknown			
Examiner Name		unknown			
Attorney Docket Number		PMP-0002			

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	015	WALHEIM S ET AL: "NANOPHASE-SEPARATED POLYMER FILMS AS HIGH-PERFORMANCE ANTIREFLECTION COATINGS" SCIENCE, AMERICAN ASSOCIATION FOR THE ADVANCEMENT OF SCIENCE, US, Bd. 283, Nr. 5401, 22 JANUARY 1999, (22-01-1999) Pages 520-522, XP000891228, ISSN: 0036-8075	
	016	GHAEMI H F ET AL: "SURFACE PLASMONS ENHANCE OPTICAL TRANSMISSION THROUGH SUBWAVELENGTH HOLES" PHYSICAL REVIEW, B. CONDENSED MATTER, AMERICAN INSTITUTE OF PHYSICS, NEW YORK, US, Bd. 58, Nr. 11, 15 SEPTEMBER 1998 (15-09-1998), PAGES 6779-6782, XP002133008, ISSN: 0163-1829	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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